

## **POLICY: PERSONNEL POLICIES & MANUALS**

**POLICY STATEMENT:** It is the policy of the Bureau of Developmental Disabilities Services (BDDS) that a Provider shall adopt and maintain a written personnel policy.

### **DETAILED POLICY STATEMENT**

1. A Provider shall:
  - a. adopt and maintain a written personnel policy;
  - b. review and update the personnel policy at minimum annually; and
  - c. distribute the personnel policy to each owner, director, officer, employee, contractor, subcontractor, or agent.
2. The written personnel policy required by 460 IAC 6-16-2 shall include at minimum the following:
  - a. A procedure for conducting reference, employment, and criminal background checks on each prospective owner, director, officer, employee, contractor, subcontractor or agent that complies with DDRS policy.
  - b. A prohibition against employing or contracting with a person convicted of the offenses listed in DDRS policy.
  - c. A process for evaluating the job performance of each owner, director, officer, employee, contractor, subcontractor or agent at the end of the training period and annually thereafter, including a process for feedback from receiving services from the owner, director, officer, employee, contractor, subcontractor or agent.
  - d. A description of the work-related behavioral criteria used by the Provider to initiate substance abuse screenings with its owners, directors, officers, employees, contractors, subcontractors or agents.
  - e. Disciplinary procedures.
  - f. A process for suspension of the owner, director, officer, employee, contractor, subcontractor or agent from services to Individuals following a report of, and during an investigation of, alleged Abuse, Neglect, or Exploitation of an Individual by the owner, director, officer, employee, contractor subcontractor or agent.
  - g. A description of grounds for disciplinary action against or dismissal of an owner, director, officer, employee, contractor, subcontractor or agent including:
    - i. the dismissal of an owner, director, officer, employee, contractor, subcontractor or agent for involvement in the Abuse, Neglect, or Exploitation of an Individual.
  - h. Safeguards that ensure compliance with HIPAA and all other Federal and State privacy laws.
  - i. Mandatory orientation for each new owner, director, officer, employee, contractor, subcontractor or agent to assure the owner's, director's, officer's, employee's, contractor's, subcontractor's, or agent's understanding of, and compliance with:

- i. the mission, goals, organization, and practices of the Provider; and
    - ii. the applicable requirements of this article.
  - j. A system for documenting the training for each owner, director, officer, employee, contractor, subcontractor or agent, including:
    - i. the topic of training provided;
    - ii. the name and qualifications of the trainer;
    - iii. the time of day the training started and stopped;
    - iv. the date or dates of training;
    - v. the signature of the trainer, verifying the satisfactory completion of training by the owner, director, officer, employee, contractor, subcontractor or agent; and
    - vi. the signature of the owner, director, officer, employee, contractor, subcontractor or agent receiving the training.
  - k. A system for ensuring that a trainer:
    - i. has sufficient expertise and knowledge of the training topic to achieve listed outcomes; and
    - ii. is certified or licensed when the training topic addresses services or interventions requiring certified or licensed practitioners for assessment, plan development, or monitoring.
  - l. A system for providing annual competency based in-service training to improve the competence of owners, directors, officers, employees, contractors, subcontractors or agents as described in DDRS policy.
  - m. A system for ensuring continuous employee competence as described at 6-14-5.2.
  - n. A description of the protections granted by the Provider for whistleblowers, in compliance with DDRS policy.
- 3. In addition to the personnel policy referenced in this policy, a Provider shall:
  - a. adopt and maintain written job descriptions for each position, including in each job description the following:
    - i. minimum qualifications for the position;
    - ii. major duties required of the position;
    - iii. responsibilities of the owner, director, officer, employee, contractor, subcontractor or agent in the position;
  - b. provide each owner, director, officer, employee, contractor, subcontractor or agent a copy of the job description for the position for which they are employed.

## **Operations manual**

- 1. A Provider shall compile the written policies and procedures required by 460 IAC 6-16-2 into a written operations manual.
- 2. The operations manual shall be reviewed and revised at minimum annually.
- 3. Upon the request of DDRS, the Provider shall:
  - a. supply a copy of the operations manual to DDRS or other state agencies, at no cost; and
  - b. make the operations manual available to DDRS or other state agency for inspection at the offices of the Provider.

## **DEFINITIONS**

“BDDS” means bureau of developmental disabilities services as created under IC 12-11-1.1-1.

"DDRS" means the division of disability and rehabilitative services as established by IC 12-9-1-1.

“HIPAA” means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191, enacted by the 104th congress of the United States of America.

## **REFERENCES**

IC 12-8-8-4

IC 12-9-2-3

IC 12-11-1.1-1

Approved by: Julia Holloway, DDRS Director